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ABSTRACT

Each paper in this monograph provides a discussion of and/or proposes a possible solution to a critical issue which must be faced by student affairs workers during the 1980's. The first article examines the legitimacy of student affairs as a professional entity within the field of higher education. The second article discusses the rationale of developing a theoretical basis and systematizing a plan for effective student affairs programming for new clientele, i.e., nontraditional students. The realities of planning, developing, and managing programs in a highly political environment with limited resources is discussed in the third article. A variety of approaches to resource allocation which are likely to be implemented during the 1980's are presented in the fourth article. The final article provides a brief overview of the grant application process and discusses several strategies to help applicants enhance their chances for funding. The future of student affairs and the administrative skills needed to ensure its survival are presented in the summary. (Author/NRB)

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Student Affairs in the 1980s: A Decade of Crisis or Opportunity?

By

Michael L. Lynch

with contributions by:

Jonathan D. Lewis
Melanie Wexley Lewis
Fred B. Newton
Earl Nolting, Jr.
Clifford G. Schuette

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School of Education
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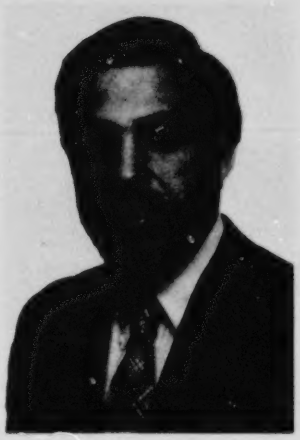
ABOUT THE AUTHORS

Michael L. Lynch, the senior author of this document, is Assistant Director for Programs and Services, and Director of Program Development and Evaluation in the Center for Student Development at Kansas State University. Dr. Lynch also holds the rank of Associate Professor with the Department of Administration and Foundations, Educational Psychology, in the Kansas State University College of Education.

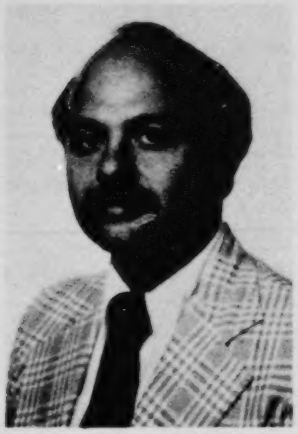
About the Authors . . .



Jonathan D. Lewis is Coordinator of Consultation, Liaison Relations, Study Skills, Curriculum and Evaluation within the Student Counseling Center of the Center for Student Development at Kansas State University.

Melanie Wexley Lewis is a Program Development Specialist within the Program Development and Evaluation Unit of the Center for Student Development at Kansas State University.

About the Authors . . .



Fred B. Newton is Director of the Student Counseling Center in the Center for Student Development and holds the rank of Associate Professor of Administration and Foundations, Counseling and Student Personnel Services, within the College of Education at Kansas State University.

Earl Nolting, Jr. is Director of the Center for Student Development and Dean of Students at Kansas State University. Dr. Nolting also holds the rank of Associate Professor with the Department of Administration and Foundations, Counseling and Student Personnel Services, within the College of Education at Kansas State University.

Clifford G. Schuette is Coordinator of Training and Structured Group Programs within the Student Counseling Center of the Center for Student Development at Kansas State University. Dr. Schuette also holds the rank of Assistant Professor of Administration and Foundations, Counseling and Student Personnel Services, within the College of Education at Kansas State University.

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STUDENT AFFAIRS IN THE 1980s:
A DECADE OF CRISIS OR OPPORTUNITY?

The student affairs profession enters the 1980's facing critically important challenges. After 30 years of growth and relative prosperity, higher education and its various components, including student affairs, are confronted with the prospect of declining enrollments, limited resources, and waning public confidence. The extent to which the student affairs profession is able to contribute to the resolution of these problems will determine whether or not it survives. Each of the papers contained in this monograph provides a discussion of and/or proposes a possible solution to a critical issue which must be faced by student affairs during the coming decade.

Student affairs has often operated in an isolated and autonomous fashion on the periphery of higher education, still seeking to define its own identity. The coming decade will require that the profession delineate clearly its functions and roles and then deliver quality programs and services. In addition, student affairs leaders must develop the administrative and managerial skills necessary to acquire, allocate, and administer resources successfully in the increasingly political environment of higher education.

STUDENT AFFAIRS IN THE 1980s:
A DECADE OF CRISIS OR OPPORTUNITY?

Michael L. Lynch

Introduction

The student affairs profession enters the 1980's facing critically important challenges. After 30 years of growth and relative prosperity, higher education and its various components, including student affairs, are confronted with the prospect of declining enrollments, limited resources, and waning public confidence. The extent to which the student affairs profession is able to contribute to the resolution of these problems will determine whether or not it survives. Each of the papers contained in this monograph provides a discussion of and/or proposes a solution to a critical issue which must be faced by student affairs during the coming decade if the 1980's are to be years of opportunity rather than crisis.

In their article entitled "Student Affairs in the Eighties: Dinosaurs or Distinction?", authors Newton, Lewis, and Schuette examine the legitimacy of student affairs as a professional entity within the field of higher education. Scrutinizing a profession which is struggling with its own identity, the authors pose questions concerning the role of student affairs within higher education and the "unique" contributions made by student affairs professionals. The resolution of these questions will have a direct impact upon the training provided for individuals entering the field, the competencies which others expect them to possess, and the significance of their contributions to the mission of their institution.

While one of the major issues facing higher education is declining enrollment, the student affairs profession will be confronted, ironically,

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Note: The authors wish to express sincere appreciation to Ann M. Phelan and Diane M. Potts for their assistance with the editing and production of this monograph.

by a student body which is becoming increasingly more diverse. This diversity results in part from society's efforts to provide educational opportunities for societal subgroups outside of the traditional college population. During the 1980's, various subgroups will be strongly encouraged to take advantage of these opportunities by institutions seeking to offset reduced enrollments. Lewis, in "The Necessity for a Professional and Theoretically-Based Approach to Programming for Nontraditional Students," discusses why student affairs programming for new clientele must be theoretically founded and systematically planned--a design quite different from the "faddist" approach that has so often characterized previous programming efforts.

During past years when higher education was enjoying unparalleled growth and prosperity, student affairs was allowed to operate in a nearly autonomous and often isolated fashion. While campus faculty and administrators seldom understood the role of student affairs and may have doubted its relevance, seldom did they translate their doubts into more than verbal onslaughts. If, as expected, institutional resources become more scarce during the coming decade, the student affairs profession can expect more persistent demands for accountability--accountability which must be proven to maintain existing resource allocations. In such an environment, the political aspects of program development and management must receive increased attention from the programmer. The article of Lynch, "The Politics and Management of Campus Program Development," discusses the realities of planning, developing, and managing programs in a highly political environment made even more intense by the increased competition for limited resources.

The fiscal management responsibilities of any administrator are certainly more pleasant and probably simpler when resources are plentiful. Such being the case, one can forecast trying times during the decade ahead. During the past years of growth and abundance, fiscal managers utilized strategies of resource allocation which relied primarily upon the base budgets already established. The resource allocation model commonly used was incremental budgeting. When new programs were created, the unit's budget base was simply increased to cover the increased demand.

One can expect the projected enrollment declines of the 1980's to bring with them ever-increasing competition for relatively fewer resources. As a result, fiscal planners and managers must turn to alternative strategies of resource allocation. In his article, "The Realities of Fiscal Management in Student Affairs Administration," Nolting describes a variety of approaches to resource allocation which are likely to be implemented during the coming decade. It behooves all student affairs personnel to become familiar with these strategies and their potential implications. Further, regardless of the budgeting method used, each student affairs staff member should possess at least a basic understanding of the institution's budgeting process. At best, such a knowledge will enhance the chances of acquiring resources; at the least, it should provide an understanding of how resources are allocated.

While budgeting strategies will vary from institution to institution, one common denominator among student affairs divisions will be the need to respond to an increasing number of demands with relatively fewer resources. In order to meet these needs with new programming efforts, student affairs units may find it advantageous to seek external resources through the grant programs offered by various federal, state, and local governmental agencies, and private foundations. In "Grantsmanship: An Introduction to Locating and Applying for External Funds," Lynch provides a brief overview of the grant application process and discusses several ways by which applicants may enhance their chances for funding.

1 student affairs in the eighties: dinosaurs or distinction?

Fred B. Newton,
Jonathan D. Lewis,
Clifford G. Schuette

STUDENT AFFAIRS IN THE EIGHTIES: DINOSAURS OR DISTINCTION?

Fred B. Newton, Jonathan D. Lewis, Clifford G. Schuette

Many writers have focused attention on the present status of student affairs by reflecting upon events of the past. They have sought to identify sources of current trends and to anticipate the challenges and directions of the future. This type of exercise can be useful in assessing and synthesizing a confluence of variables, including context (society, university, population, economy), thought (research, theory, discussion), behavior (practice, activity), and time. However, such an endeavor also contains an element of risk in that one may develop a perspective tainted by one's own bias. It is also quite difficult to bring together such complex variables into a meaningful whole that provides direction and sense to a discussion. Finally, it is risky to put anything in writing about the future when the odds are high that it will be proven wrong and the words will remain a haunting memory.

With these pitfalls in mind, our intentions are threefold. The first is to create a unique vantage point for viewing student affairs. One method that permits some distancing from previous bias while at the same time provides a gestalt is through metaphor or allegory. According to Gordon (1961), the metaphor can be used in creative problem solving to take an "excursion" that makes "the familiar strange" (p. 34). After venturing into the less inhibited thinking of the metaphor, it is important to bring the analogy back to reality by making the "strange again familiar" (p. 33).

Our second intention is to identify some of the issues that will face student affairs during the decade of the 1980's and to present some varied and often conflicting opinions on these issues. A third purpose is to

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Note: Special appreciation is extended to Drs. Edward Hammond, Donald Hoyt, Margaret Barr, Thomas Magoon, Charles Schroeder, and Ruth Ann White for their assistance during this paper's early stages of development.

look to the 1980's to identify possible responses to these issues. The future of student affairs will likely be determined by our ability to act on these issues; our responses will likely prove or disprove the viability of the profession.

The Tale of a Lost Continent

Picture yourself many years, even centuries, into the future. An old man is relating a story of years past about a lost continent which is now known only through the repeated tales of the ages.

"In a far away corner of the world was a continent called Collegia (also known as Universitas), a remote land where towers of ivory were rumored to contain great stores of knowledge, and the geography was characterized by mountains of paperwork and occasional rivers of strong political turbulence and rapid economic dissent. Inhabitants of this continent were said to have great opportunity for a bountiful life, to have access to the resources of the ages, and to be able to reach forward toward the fulfillment of their intellectual, social, and economic potential. Yet there were also many obstacles and much adversity; living there required diligence, discipline, personal sacrifice, cooperation, and complementary effort, but these were often thwarted by counter forces of competition and lack of organization.

"Within this great land was said to be a place called the Valley of Euphoria[1] which held the key to fulfillment for any person who could enter and drink from the cool and satisfying waters of its streams. The Valley, however, was not easily reached and required a special breed of people to guide the traveler[2] to these waters of personal fulfillment. These guides were variously called SAPs, SPaWs, or SDA.[3] The SAPs (we will use this term as it seemed to be the one most generally accepted) derived their origins from several sources but had the common purpose of successfully guiding the travelers into the Valley. They chose many different paths, all reported to have unique obstacles and difficulties. Some guides took the precipitous climb up the hill of academia using the steps of accumulative progress to mark the way. The path was complicated

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[1]Euphoria derives from an earlier culture which used the term to mean total health.

[2]Traveler was a word synonomous with student.

[3]SAPs, SPaWs, and SDA were acronyms for Student Affairs Professionals, Student Personnel Workers, and Student Development Specialists, respectively.

and jagged with rocks of inconsistency, and progress was determined in large measure by the "readiness" of each traveler. Another group followed a way that was less arduous and marked by many side paths, each designed to fulfill a traveler's specific need. This route followed a much longer peripheral path; in times of famine and economic decline, it was often abandoned. It was known that many travelers did not use the SAPs or venture near the Valley. However, no one knew whether their reluctance was caused by the difficulty of the route, the reputation of the guides, or confusion as to the way to travel.

"In spite of the great difficulties and controversial methods of getting to the Valley, those who did drink from the cool, refreshing waters were rumored to have greatly enhanced their ability to understand themselves, to improve their personal lives, to channel their energies, and to make new discoveries which brought great satisfaction to themselves and others. It is unfortunate that little evidence of this species of traveler remains for us to learn of the impact of the Valley upon them and to share this knowledge with the sages of our civilization."

An allegory relates a story that has obvious as well as hidden meanings. The hidden and incomplete aspects of the story allow room for individual speculation and interpretation. For example, the ending is left open. What happened to the journey? The guides? The Valley? Relating this allegory to the reality of student affairs requires an analysis which might best be accomplished by seeking answers to the following questions: Who were the SAPs and what was their function (Identity and Purpose)? How did the guides prepare for, plan, and execute their mission (Training and Competence)? How did the rugged and changing environment affect the journey (Impact of Milieu)? How were the guides and their authority viewed and supported by the citizens (Expectations and Accountability)? Who were the travelers and what were their needs (Constituency Development)?

Identity and Purpose

From the original Student Personnel Point of View issued in 1938 through the Council of Student Personnel Associations in Higher Education (COSPA) statement of 1972 to the more recent Tomorrow's Higher Education statement issued in 1975, the philosophy for student affairs has recognized

the individual as a unique, holistic being actively growing in the cognitive, affective, and psychomotor domains. Further, this growth takes place in an environment that may impact in both formal and informal, and planned and unplanned ways. Student affairs practitioners have utilized the total environment as a learning laboratory in order that the student may develop necessary skills and assume responsibility for directing his/her own life. While there has been general agreement on the overall goal for student affairs, there has been a long history of disagreement on many other aspects of the profession including name, source of professional association, and theoretical roots, roles, and responsibilities.

Crookston (1974) notes a variety of referent names and tries to discriminate the use of terms such as student personnel, student affairs, and student development. Tilley, et al. (1979) suggest using student affairs as an administrative label to describe functions for an organizational purpose. Creamer (1980) prefers the use of student development as an identifying label because it signifies a goal of student service professionals that is congruent with a major purpose of higher education and gives reason for existence beyond the maintenance functions.

Some have strongly criticized the lack of research, theory, and professional statement by examining the concept of professional status itself (Penney, 1969). The identity of student affairs is further complicated by the existence of several umbrella organizations which, while providing opportunity for diversity and choice, mitigate against a common voice and unified standards for the profession as a whole. Still others indicate that excessive talk about being or not being a profession is an exercise in frustration that has more to do with trapping and appearance than accomplishment and significance.

Suggestions as to the proper role and function of student affairs include consulting, teaching, programming, and resource management (Miller & Prince, 1976). Some prefer the academic standard as a means for establishing respect and viability (Brown, 1972), while others promote a separate but equal co-curricular identity. A third opinion holds that the future of student affairs lies in integrating the instructional and non-instructional aspects of higher education (Schroeder, 1976). Nearly all

writers in the field, however, are uncomfortable with a maintenance or support role which appears vulnerable and expendable.

Because the issues of identity are many and diverse, the future demands a clearer definition of purpose from the profession--if, in fact, the "profession" exists as a viable entity. Or, does our diversity suggest that we are little more than a consortium of many related but different identities sharing a limited, if any, theoretical base or purpose? Given that the decade of the 1980's is likely to be a period of both administrative and budgetary scrutiny, we must move on toward resolution of these basic issues and at the same time exercise caution not to isolate ourselves from the major purposes of the institution.

Training and Competence

Traditionally, student affairs professionals have come from a wide variety of backgrounds and have brought a variety of skills and competencies to higher education. Staff were often employed because they related well or were incidentally "promoted," "transferred," or "relieved" into these positions from other disciplines within higher education. A recent national directory of student personnel training programs listed 73 graduate programs in student personnel/student affairs. Even with this number of training programs, our profession still finds itself grappling with unanswered questions concerning the substance, theory, and skills such training programs should provide. To what extent should our training programs espouse a theory base, and to what extent should they be an introduction to a "group" of services provided by student affairs professionals? Is it possible for a training program to identify theoretical roots and explanatory models of what student affairs is about? What demonstrable competencies should we require of our trainees? What are the continuing education needs of student affairs professionals if they are to remain well-informed and up-to-date?

Several authors have identified basic learning areas for training (Knock, 1977; Newton & Richardson, 1976). However, due to the wide range of services provided by student affairs practitioners (e.g., counseling,

administration, management, financial aid, advising, etc.), areas of uncertainty still remain. To date no standards or credentials are required by states, regional accrediting agencies, or professional associations for entry into the field of student affairs.

In addition to issues surrounding training and competencies, problems relating to pay, promotion, job scarcity, and job security cause many young professionals to leave the field before their most productive years. A recent survey of fifteen women who had graduated with Master's degrees in student personnel during the past eight years found only two staying in the field while the remaining thirteen had entered business, law, and other areas of higher education. The economic forces which underlie many of these problems are likely to continue throughout the 1980's. Thus, it will behoove the profession of student affairs to identify those areas in which it can contribute to the overall mission of higher education and then to provide those entering the profession with the training and competencies necessary to do so. This will require our profession to rethink some of our old ways and to think creatively of new ways by which our roles and functions can be better defined and expanded. We must question old assumptions and be prepared to communicate assertively what our contributions can be. We must ask ourselves, "How does the student affairs practitioner 'fit in' with other colleagues on campus, both those in the academic community and those administering the academic community?"

Contextual Variables

Of all the factors impacting upon the future of student affairs during the coming decade, the changing relationships among the student, the university, and the total university environment may be the most significant. One important change to consider is the redefinition of the student-institution relationship as established through legal procedure and institutional response. In the past 20 years, higher education has moved from the benevolent parent of the early 1960's, through the constitutional relationship based upon due process of the late 1960's and early 1970's, toward the evolving contractual relationship of the present (Hammond,

1977). The major effects of these transitions have been felt most in the classroom. The question remains unanswered as to how the movements toward consumerism and a legalistic society will impact upon student affairs.

A second significant contextual factor that will impact upon student affairs is the economy. While we enter the decade of the 1980's with few certainties, one factor we can count on is a budget which is restricted, frozen, or reduced. Instability and uncertainty caused by inflation and recession will be felt in budget reductions which will impact directly upon program development and service delivery. On a management level, student affairs administrators must deal with this problem by making crucial decisions about personnel and resources. Accountability is no longer a catch word--it is a reality. The situation will call upon skills of acquiring external funding and leadership ability for recycling resources and staff for new purposes. During his 1980 candidacy for the Democratic presidential nomination, Governor Jerry Brown of California noted that the economic situation calls for the creative use of financial resources to seek qualitative rather than quantitative results. Will the student affairs leadership meet the implied demands of organizational change, managerial efficiency, and accountability?

A third contextual variable is time, or in the words of Toffler (1974), the effect of collapsed and accelerated time--"future shock." For many reasons--satellite communication, multinational industries, international currencies, computers, and other technological advances--what was once an isolated event in a remote region of the world may now have an immediate and dramatic impact on campus. The administrator trained in a traditional problem-solving process involving the careful collection of data and selection of alternatives will now be called upon to give more immediate responses to an even more complex array of issues. With these demands will come the need for administrative intuition and selective attention as well as skills in data analysis and synthesis.

Changing Constituencies

We know that the recipient of higher education is no longer only the "traditional" 18- to 22-year-old individual from an enriched background who is seeking professional advancement and economic security. Emphases on life-long learning, mid-life career changes, and open-door accessibility and recruitment have broadened the student population base to include all age groups, a variety of ethnic cultures, and a wider range of student academic potential and accomplishment. Along with the changing clientele come the need and new demands that our institutions adjust, adapt, and accommodate. Institutions are now looking to housewives who are beginning or returning to a career, to the employee who is seeking professional advancement or a mid-life career change, and to the community resident who wishes to take an occasional enrichment course as potential students to fill the vacancies created by the decreasing numbers in high school graduating classes. Can student affairs provide the means to remediate deficiencies, integrate diversified backgrounds, and help students cope with the stresses caused by an increasingly more rapid pace of life? If not, adult educators, business managers, sociologists, and psychologists will try.

Speculations About the Future of Student Affairs

The authors and the individuals acknowledged at the beginning of this chapter speculated about possibilities for student affairs in the years that lie ahead. The following ideas represent examples of our efforts. What are your own ideas about future possibilities?

- Licensure becomes a reality for certain areas of student affairs while professionals with five years experience become grandfathered.
- Student affairs is perceived by many in campus governance to be soft and undefined. As a result, only individuals who prove their quality survive the cuts of nontenured staff.
- Student affairs offices offer expertise in an organizational development mode using behavioral science principles to provide ideas and

methods for changing systems and keeping educational processes tuned to the needs of changing conditions and clientele.

• Fiscal control is determined on a pay-as-you-provide basis with the housing office and the student union being the prototype for other services, including counseling.

• Goals and objectives are outlined for all services and accountability is determined by the HSD (human services delivery) factor. This factor becomes the common measuring unit for all higher education service, including academics, replacing the outmoded FTE (full time equivalent).

• Student affairs splits its major functions into two areas: Essential Operations (admissions, housing, student aid, records, advisement) and Enhancement Operations (counseling, orientation, student activities). Separate training, credentials, and administration become operational for each.

• Enhancement Operations become Community Development Centers offering services to a broad range of constituents including faculty, parents, senior citizens, and local agencies.

• Student affairs preparation programs in Colleges of Education are found lacking, and thus many student affairs practitioners are trained in business schools, applied psychology programs, or sociology programs with an organizational and environmental emphasis.

• Student affairs professionals focus expertise on factors of learning and retention, thus establishing a role as consultants to the total educational experience.

• Different institutions make different changes concerning the names of services provided, the structure of student affairs organization, and the function of these services. However, the sum total across the field of student affairs shows little in the way of substantial shift.

Prospectus for the Eighties

Student affairs finds itself entering the 1980's as a profession in transition. While still struggling to define more clearly its own identity and purpose, the profession is concurrently faced with demands to

articulate better the training and competencies expected of new professionals. Higher education, however, will not await our resolution of these basic issues. Rather, higher education itself will enter the decade of the Eighties struggling to maintain a sagging public confidence by proving its accountability and by seeking to serve an ever broadening clientele with relatively fewer resources. Thus, not only must the student affairs profession move promptly to resolve its own professional issues, it must also make substantial contributions to the resolution of those crises facing higher education in general.

Will student affairs professionals enhance their role as guides into the Valley of Euphoria, thereby enabling an ever-increasing proportion of our students to drink from the cool, refreshing waters? Do we as guides have the knowledge and expertise required to make a contribution to the journey of higher education? Or, will we remain stranded on our own rugged path of professional adolescence while higher education moves onward?

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2 the necessity for a professional and theoretically-based approach to programming for nontraditional students

Melanie Wexley Lewis

THE NECESSITY FOR A PROFESSIONAL AND THEORETICALLY-BASED APPROACH TO PROGRAMMING FOR NONTRADITIONAL STUDENTS

Melanie Wexley Lewis

One of the most evident trends in higher education in the last 20 years has been the identification and recruitment of students from populations that are considered atypical of traditional college students, that is, white, 18- to 22-year-olds who attend college full time and reside on campus. While these efforts are laudable, stemming from altruistic aspirations in the 1960's and pragmatic ventures designed to bolster diminishing enrollments in the 1970's, they can also be characterized as capricious. We have exerted a great deal of energy developing student service programs designed to meet the special needs of these newly-recruited clienteles. Unfortunately, funding sources expire; and involved professionals become disinterested or "burned out," move on to new positions, or find a new group of students to support. The result is that while these special populations have increased, at the same time we have eliminated the services designed to serve them--or at least we find ourselves "hard pressed" to maintain initial levels of commitment as limited funds, diminished staff enthusiasm, and poor administrative support undercut their quality.

Cross (1976) points out that in the 1960's it was "fashionable to brag about how many minority and low income students there were on campus" (p. IX). Today, however, it is fashionable to boast of one's talent for avoiding budget deficits and shortfalls. The shift in attitude is most evident in student affairs where tangible outcomes are least obvious and where the boundaries of responsible programming efforts have little definition. Rarely, though, have programs been completely eliminated. Instead, recent budget cuts on most campuses have meant a general reduction in staff and resources. Federal regulations also prevent the total dissolution of certain programs. Paradoxically, we often see a reduction in effort with one group occurring concurrently with a heightened interest in a newly defined group, a group that enhances the promise of gaining grants, increasing enrollments, and providing a surge of community interest.

At the start of the 1980's, we can observe a fairly good representation of services on most campuses in programs for minorities, women, culturally and economically disadvantaged individuals, international students, disabled persons, and adults. Some institutions offer programs for even more well-defined groups such as commuters, gifted and talented students, gay students, and married students. In addition, there are programs varying regionally for minorities such as Asian-American, American Indian, Mexican-American, and Puerto Rican students. This wide range of nontraditional student representation on campuses is the admirable outcome of the efforts of the last 20 years.

These students are now knocking on our doors demanding services. In the midst of a no-growth trend in higher education, less soft money, and budget cuts, are we being as responsive as we might be to these students? Or has our capriciousness short-changed them? Is this faddism of "who's the new population on the campus" finally over? Hopefully, we are entering a time when we in higher education in general and student affairs in particular can abandon the mad scramble for new student constituencies and resolve to provide better services for those we already have.

The 1980's need not be a time of crisis; rather, they can be a time of opportunity to improve upon what we have learned in the past 20 years and ultimately to strengthen the often tenuous position of student affairs on campuses. We can do this by (a) coordinating and unifying the student affairs programs now operating for both traditional and nontraditional students, and (b) continuing to enrich and expand the quality of services already designed for students with special needs. The survival of all facets of student affairs appears to rest on collaborative efforts among student development professionals as well as on a coalition of our resources and knowledge. The 1980's may be our last chance to prove that we are central to the functioning of the university. Our future credibility will most surely be based on our ability to create theoretically-based, quality programs for all students.

How Do We Go About Coordinating and Collaborating?

Miller and Carpenter (1980) regard the field of student development as "youthful, rapidly developing, and ever changing--created as much by chance and whim as by plan and clear thinking" (p. 181). Its theoretical foundations are diverse and often neither understood adequately by student personnel workers nor translated into application to traditional students. Translations of these theories into application to nontraditional students become even more garbled due to the differences among the various populations. Some writers thus argue that student development theory as it applies to students from nontraditional constituencies is far different from the cognitive-developmental, human-existential, or psychosocial-theoretical perspectives which apply to the more traditional student (Babbitt, Burbach, & Iutcovich, 1979; Dailey, 1977; McCrea, 1979; Schlossberg & Troll, 1976; Smallwood, 1980; Von der Embse & Childs, 1979; Vontress, 1970). In fact, some authors state that each special group brings to the campus a unique set of needs and that professionals working with such groups require distinct and special training. Some even suggest that the student personnel worker should be a member of the group or have experienced the exceptionality of that group (Vontress, 1969; Woods, 1977).

It has been well documented that students from various nontraditional groups, e.g., minority students, older students, and disabled students, are reluctant to use traditional college and university services because they see them as being oriented toward the white, middle class, and able-bodied adolescent. Thus, we see the justifiable inception of separate and distinct services for identified groups of students staffed by professionals skilled in the development and delivery of services to a particular group.

It is imperative, however, that we look at ourselves in terms of our professional identity. If we are, in fact, a profession defined by a field of knowledge based on a theoretical core, then there surely needs to be a greater degree of consensus among training programs, credentialing agents, and practitioners regarding the minimum standards for professionals in our field. Rodgers (1980) acknowledges that student development

practice often is not theory-based, that practitioners often use intuitive, implicit assumptions about human development in making program decisions and developing operational approaches. He suggests that students are better served if programming attempts are based on formal developmental theory. Therefore, we need to be committed as a profession to a core of developmental theory and acceptable professional practice which can be universally applied to all students. This core of knowledge can well serve as the coalescing force that moves us toward improved cooperation and collaboration among the separate and distinct agencies on the campus.

In no way does this suggest that specialized agencies serving special groups be dissolved, nor does it suggest that professionals need not have a specialized body of knowledge regarding the needs of a particular group. On the contrary, professionals serving special groups need an in-depth understanding of the salient issues facing the identified clientele as well as a clear understanding of the basic tenets of student development. Such knowledge helps the professional to go beyond surface evidence to underlying issues. Theodore Reik (1948) referred to this as "listening with a third ear" and implied that thorough knowledge about an identified group can help the professional more fully understand an issue or problem from a different perspective.

What Are Our Obligations to Nontraditional Students?

Not only should we be concerned about collaboration and establishment of a theoretical base for our efforts, we must also give attention to the continuity and enrichment of existing programs.

Our campuses today are filled with students from a large number of well-defined groups with special needs. Group representation varies from campus to campus depending on geographic location. Addressing the specific programming needs of all of these groups far exceeds the limits of this paper; however, four distinct groups are of major interest to many campuses and require services not offered by many traditional student affairs agencies. These are minorities, women, adults, and disabled persons. The

unique needs of each of these groups will be discussed, and some ways will be suggested in which campuses can develop and enrich their programming.

Minority Student Programs in the 1980's

Recruitment and retention of minority students in colleges and universities persists as an issue as we start the 1980's. During the 1960's, it was enough just to attract minority students and to quote the numbers of minority students enrolled; however, we have gone far beyond counting heads to a time when we should be concerned with minority student adjustment and overall satisfaction with college life. We have attempted to staff our minority student services with minority professionals and have found that sufficient minority professional staff are seldom available. Moreover, as a new decade is beginning and governmental spending is being cut, many campuses are worried about continued funding for minority student programs.

Yet, we need not be pessimistic. The last 20 years have made us aware of the special needs of minority students and have clarified our understanding of our clientele. Further, we have a more distinct picture of racism on the campus and the insidious arrangements which foster discrimination against and exploitation of minorities. Perhaps we are now ready truly to address the needs of individual minority students while avoiding stereotyping and isolating them. Smith (1977) suggests that in our attempts to sensitize others to the situations of members of a particular racial group, we sometimes ignore individual differences, which defeats our original purpose. Perhaps separating services for minority students was expedient in the 1960's and 1970's for the sake of funding and identification of client needs; now that those outcomes are not in the forefront, however, we need to make our services more interdependent. As Smith proposes, we might be doing the minority student an injustice by developing a typical minority student profile and serving that student only through a minority student service agency. An important question to ask ourselves is whether we are truly serving minority students when we perpetuate stereotypes and isolate these students in a separate program.

Nonetheless, we are aware that minority students experience the pangs of loneliness and alienation and often exhibit poor study skills. They also report not having enough money, being unfamiliar with campus resources, and feeling discriminated against by teachers and other university staff (Boyd, et al., 1979). We have an obligation as student personnel professionals to address these expressed needs and feelings. We can alleviate many such concerns through crisis intervention and rehabilitative approaches in counseling settings and residence halls, workshops, and student activities. Utilizing such interventions, we can hopefully give some help to those limited numbers of students who seek it.

However, we can impact many more, less conspicuous minority students by utilizing a more preventative, educational approach. The student personnel professional with expertise in student development theory, who possesses sensitivity to and understanding of the unique needs of minority students as well as knowledge of interpersonal relations, can serve as a "change agent" to eliminate racism on the campus. The means for accomplishing this goal can be social activism or direct educational intervention--that is, the student personnel professional can become a political lobbyist on campus for the rights of minority students, and/or can serve as an ombudsman, initiator, supporter, organizational interventionist, or advocate. The site of this type of intervention can be almost anywhere on campus.

In acting as an agent for prevention, the change agent can facilitate efforts to adapt services to meet the needs of minorities and can also serve as a link between the minority student and the university by breaking down language and cultural barriers. In terms of direct educational intervention, the student development professional can educate the university community via workshops, lectures, and conferences about the needs of minority students. Efforts can also be made to enrich the academic and cultural life of the university via art exhibits, lectures, and musical programs representing a variety of ethnic heritages. It has been suggested that such efforts also make the minority student's transition to university life easier (Lopez & Cheek, 1977).

This preventative/educational thrust not only is consistent with the desire to promote collaboration and coordination of student affairs activities on campus but also attends to the very real financial limitations in many student affairs minority programs. Further, this approach addresses the crisis needs of individual minority students while impacting upon a greater number of them.

Programs for Women in the 1980's

The majority of college students today are women. Many once all-male colleges have become coeducational. The 1970's saw a flurry of activity in the development of women's studies programs, women's sports, and women's resource centers. The most positive efforts for women have been in counseling, which has helped women to deal with socially-inflicted limitations on their aspirations and to develop greater self-confidence in exploring new possibilities via decision-making training and career planning.

The failure of most programming for women has been its inability to prepare the female graduate adequately for the difficulties she will face on leaving the educational setting: combining family and career, dealing with subtle forms of discrimination in the "real" world (Bass, et al., 1971; Rosen & Jerdee, 1977), the lack of mentors (Schwartz, 1971), and the inadequacy of female networks. Further, the last five years have witnessed the demise of many women's programs on campuses. In spite of affirmative action efforts to hire more women in administrative positions, only 16 percent of administrators in higher education are women (Cowan, 1980). Perpetuating any student affairs program involves strong administrative support at high levels, and such support is not available for women's programs. A good example of this is women's sports where concerted efforts have been made to expand programs against strong opposition from influential persons within the campus environment.

The clearest recommendation for enriching women's programs lies not in the programs themselves but in helping women to increase their influence and power on the campus. This can be accomplished by utilizing the

change agent model suggested for minority student affairs professionals. Although the model is directly applicable to this population, there is a difference. Women are not a minority. They are, in fact, a majority; but they behave in a subservient and powerless manner despite their numbers. Socialization has made it difficult for women to perceive behaving in a powerful manner as being congruent with acceptable female behavior (Schwartz, 1978). The efforts of the change agent must therefore be directed toward creating an environment that reinforces women's capabilities, via workshops, counseling, residence hall programs, and women's support groups. The change agent must also capitalize on the support inherent in visible female faculty role models. Political influence should be exercised to remove inequalities in grading policies, post-graduation job placements, and regulations which determine participation on the basis of sex. Faculty must be made aware of opportunities for women in what have been traditionally male-oriented occupations. Finally, women must be encouraged to be better risk-takers and to be more visible in student leadership roles. All of this could be accomplished utilizing the preventative/educational model outlined earlier.

The Adult Student in the 1980's

The term "adult student" is somewhat ambiguous in that it encompasses any and all students who solely by their age do not fit into the classification of traditional student. The population includes many types of people with widely diverse needs: the housewife who desires to complete an education interrupted by marriage and children, the widow or divorcee who needs to learn skills to make a living, the man who makes a mid-life career change, the elderly individual with new-found leisure time who wants to be involved in an enriching experience. Whatever their motives for attending college, these adults now comprise a significant proportion of the student population. Because of the diversity of their motives, it is not clear to which of their needs we can best attend; however, there are themes and issues common to all adult or older-than-average students which result from their presence in an environment primarily developed for adolescents.

Clearly, adults bring to the campus a set of values, attitudes, and expectations different from those of younger students. Many of their attitudes are entrenched in a strong value system. Some adult students bring with them family and child care responsibilities and must cope with the negative reactions of family members to the disruption caused by the adult's attendance at school. Many adult students report feeling alienated and isolated from campus life. Age bias is reported as a problem in their interactions with younger students and, more frequently, with faculty and staff.

Adult students universally express the need for assistance in time management and study skills (Gelwick, 1980). Most adult students appear to need help specifically in coordinating family and job responsibilities with academic responsibilities. Interestingly, Smallwood (1980) reports that only after these problems are resolved can students pay attention to their academic work and have the chance to succeed. Financial concerns may also be present for the single adult or the adult student who gives up a job to return to school. A major problem facing the adult student is life/career planning. Starting over again is difficult, and the decision-making process involves complex issues (family, geographic location, self-concept, age, etc.) which do not face the adolescent.

What has been done for adult students programmatically has taken two forms: counseling and support/information groups. Counseling services have responded strongly to personal, career, academic, and financial concerns. Most schools have a program and an advocate for adult students within the traditional counseling center or associated with the Vice President for Student Affairs. This program usually involves information dissemination and orientation, as well as assimilation functions including social hours during which adult students can get to know each other. Some even include a peer support group (Kasworm, 1980).

All of these efforts seem to work well but must be continued and enriched. Stronger recruitment efforts need to be made by universities to attract adult students. Advocates have made rudimentary attempts to enlist the aid of community groups, but this needs to be accomplished on a greater scale. Stronger advocacy is needed at high levels to alleviate

covert administrative barriers such as arbitrary and inappropriate parking rules and tedious enrollment procedures, and to promote positive practices such as changing the hours of basic courses to evenings and late afternoons, offering student services during evening hours, and encouraging part-time work toward a degree. In addition, universities must become sensitized to the child-care needs of adult students.

Perhaps the most efficient and pragmatic actions we can take in the 1980's to assist adult students are to be strong political advocates and to continue providing personal support. Although those who work in residence halls and student activities may have limited contact with adult students, those who deal with other facets of student affairs--financial aid, orientation, counseling, career planning, health services, records, etc.--are surely in an appropriate position to be advocates for adult students. We can become more knowledgeable about the unique developmental needs of adults (Schlossberg & Entine, 1977) and educate others about these identified needs. There will be no reason to isolate adults in a separate program as student personnel work to make the campus environment as committed to all student needs as it currently is to the needs of younger students.

Disabled Students--Is Section 504 Making Any Difference?

In spite of the seven years since the inception of Section 504 of the Rehabilitation Act of 1973, it is striking that so few campuses can yet be considered barrier free. Some campuses seem actively to recruit handicapped students, while others send out the clearcut message: "We can't help you, but we wish we could!" Although more physically handicapped students are now on college campuses, mobility-impaired students practically always select only colleges and universities that are barrier free.

There seems to be, however, some commitment to the idea of providing equal access. On many large campuses, at least one student development professional is usually assigned the job of serving disabled students. However, most such personnel have received no specialized training in providing counseling and other support services to this population. The

administration typically provides little support (Dailey, 1977) other than minor architectural modifications such as preferred parking areas, special restroom facilities, curb cuts, and wheelchair ramps. Rarely are other necessities available, such as personal care assistance, shuttle vans, or wheelchair repair services, nor are there readers for the blind, campus access guides, Braille signs, or sign language specialists.

If physical barriers have been given minimal attention, the psychosocial aspects of disability have been virtually ignored. Faculty members are fearful, apathetic, and antagonistic toward handicapped students (Potter, 1977), and counselors lack skills in counseling this population and have limited knowledge about the nature of disability (Dailey, 1977). Babbitt and others (1979), concerned about peer interaction on campus and the stigma associated with disability, found that handicapped students feel like outcasts and have negative self-images. In addition, because of housing limitations and inaccessibility, handicapped students rarely live in dorms, become involved in extracurricular activities, date, attend functions such as parties or sports events, or join campus groups.

The state of programming for handicapped individuals on college campuses is poor. The response by most campuses to the needs of diabled students has been one of reaction rather than proaction. Student affairs administrators have been willing to accommodate the needs of an individual student if the demands are made, but most universities have not responded with institutional changes. Handicapped students usually have no political advocates on a campus, and although they are a highly vocal force in Washington, D.C., they do not express their needs locally.

The specific needs of disabled persons are extremely complex since they stem not only from the individuals themselves but also from the reactions of others to them. Physically limited students often present frightening and overwhelming problems to a campus. Over-accommodation and patronization can be as debilitating as outright antagonism. Therefore, the trend we need to adopt in the 1980's is the initiation of widespread educational campaigns to dispel fears and antagonisms by exposing administrators, faculty, and students to the myths and stereotypes of disability. College counselors must become sensitive to the needs of

handicapped students and increase their skills in helping them make informed decisions. Peer group counseling and self-help groups can also be of assistance. Placement personnel should become more acquainted with the logistics of job placement for the handicapped (e.g., job modification and federal regulations for placement of the handicapped). Increased awareness of and sensitivity to the needs of such students on a campus may lead administrators to seek federal and state funds for physical modifications, readers, and signers. Student development professionals can be advocates for the disabled by helping to increase faculty, staff, and student awareness, and by coordinating efforts of all campus student affairs agencies.

A Restatement

In the past 20 years, student personnel professionals have made worthwhile efforts to identify and recruit new student populations to the campus. Programs designed to meet the special needs of these students have been extensive, although we, as professionals, have tended to be somewhat capricious in the continuity of our interest in particular groups. The result is that at times we seem to be working against the students to whom we wish to deliver services. The 1980's is our time to enrich and improve upon what we started in the 1960's and 1970's. We seem to have identified almost all the new clienteles that will present themselves to higher education. We must now collaborate with other professional forces and coordinate our efforts to serve all students--both traditional and nontraditional. In this time of scarce money and no-growth campus policies, it is the surest survival plan for student affairs.

In terms of how we can proceed, it has been suggested that student personnel professionals expand greatly both their knowledge of student development theory and the distinct and specialized knowledge needed to serve special groups. Our efforts to enrich the programs we presently have should include broadening our role as direct service providers and crisis interventionists to prevention-oriented educators and advocates for special groups.

This is not a time for crisis in services to nontraditional students, but rather our opportunity to broaden, enrich, and continue what we set out to do.

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3 the politics and management of campus program development

Michael L. Lynch

THE POLITICS AND MANAGEMENT OF CAMPUS PROGRAM DEVELOPMENT

Michael L. Lynch

Successful program development during the coming decade, to paraphrase an old cliche, will be based upon 10% inspiration, 40% perspiration, and 50% effective political management. In past years, the student affairs profession has been blessed with an abundance of the first two qualities. Few would deny that student affairs professionals have been continually inspired to implement new programs and, for the most part, have been willing to devote the maximum effort needed to "make them work." While our colleagues in academe may have questioned our relevance and effectiveness, few questioned our motives and willingness. Unfortunately, the development of management skills (and I use this term in the broadest sense) was usually left to chance. Some were fortunate enough to have a model to emulate; others learned by experience. But most survived quite nicely without ever having to worry about campus politics, budget development and appropriation, cost effectiveness, institutional priorities, and program evaluation. After all, were not our intentions honorable? And didn't we work as hard or harder than anyone else on campus?

In times of plenty, which in higher education translates into annual enrollment increases and ever-increasing legislative appropriations, hard work and honorable intentions served our profession well. Student affairs grew and even prospered on most campuses, although often in a random or unplanned fashion. We developed new programs and services at a rapid pace in an effort to serve the ever-increasing numbers of students and what we believed were their ever-increasing needs. Seldom were we called upon to justify ourselves.

By the late 1970's, higher education's "time of plenty" had ended. Student enrollments had plateaued or were declining at many institutions. This, coupled with the public's sagging confidence in and respect for educational institutions, caused our appropriation dollars to be fewer and ever harder to come by. Such a picture gives one little cause for

optimism. Worse, these circumstances are likely to remain with us at least through the mid-eighties, if not throughout the decade. The good intentions and hard work which served us so well in the past will no longer suffice. If we are to be effective in future program development efforts, we must acquire and practice those management and political skills which allow us to develop relevant, efficient, and effective student affairs programs.

Ford (1979) defined a program as "simply a mix of resources, people, and activities systematically blended together to meet particular goals and objectives" (p. 1). Keeping in mind this definition, student affairs professionals find themselves engaged in the development of both short- and long-term programs. Although the processes and procedures used in developing these two types of programs are more similar than different, each is unique. Development of short-term programs is often accomplished by one or two staff persons with minimal input from other segments of the campus organization and community. Such programs are usually designed to meet a specific need, and are likely to impact less upon the ongoing operation of the institution. These programs come and go as student awareness and staff interests change. Program goals and objectives are usually established with limited, if any, consultation from other organizational components, and the required resources are usually gained by minor reallocations within the given office or division.

The development of long-term programming, however, normally requires a more substantial commitment from the organization. Designed for continual operation over a span of years, long-term programs require greater expenditures of staff and resources. The expenditures are normally large enough to require additional budget allocations for the department or division, or the elimination of an already established program if no new monies are forthcoming. While short- and long-term programs have much in common, effective management and political skills result in even greater pay-offs for long-term programming. A thwarted development effort, or a program which fails or is eliminated for political reasons, often represents a substantial misinvestment and/or loss of credibility with important components of the campus community. This is not to

underestimate the importance of short-term programs, for many are later incorporated into the institution on a continuing basis.

Given the above perspective, the remaining comments are most relevant for long-term programming, but certainly have some applicability to short-term efforts as well.

In past years, our profession has failed to devote adequate time and attention to teaching even the most elementary program development skills. This situation now seems to be changing in our training programs, as well as in our professional literature. A number of quality works have been published in recent years which address the various aspects of program development. Several suggest guidelines and step-by-step procedures to follow (Aulepp & Delworth, 1976; Barr & Keating, 1979; Huebner, 1979; Moore & Delworth, 1976). Rather than merely restating what these authors have said, I prefer to discuss program development as a process in which success or failure may depend upon the programmer's utilization of effective management and political skills. I hope to suggest the critical points in the program development process when these skills will be needed and to suggest ways in which they might be applied.

The program development process can be divided into four major stages: Need and Organizational Assessment; Program Design, Development, and Piloting; Program Operation; and Program Evaluation. Each of these four areas may, in turn, be divided into several sub-operations, each having its own functions and activities. Many of the references previously cited discuss each area in detail.

Need and Organizational Assessment

Most program development guides suggest a need determination or needs assessment as the first step in program development. The assumption is made that if a lack of congruence is found between what is and what should be, an appropriate program should be developed to reduce or eliminate the incongruency.

A needs assessment must be tailored to the specific institution and the specific need(s) being examined. The data required to document any

given need may come from a variety of sources. Institutions typically maintain data bases on their student bodies. Such files normally include at least admission data and records of academic performance. In addition, specific programs and services often maintain anonymous client utilization records. Questionnaires and surveys are often designed to collect additional data. A bibliography of several assessment instruments presently in use has been published by Ebbers and Glaser (1978). Numerous standardized instruments are also available which assess campus/student interactions and student perceptions. Some of the more commonly used include the College Student Questionnaire (Peterson, 1968), the College and University Environment Scales - Cues (Pace & Stern, 1969), the College Characteristics Index (Stern, 1970), and the Environmental Assessment Inventory (Conyne, 1975). The ecosystem model for assessing and designing campus environments has fostered development of several methods and instruments for use in needs assessment (Kaiser & Sherretz, 1976; Keating, 1976). A more general discussion of needs assessment methods is contained in a publication entitled Identifying and Assessing Needs in Post Secondary Education (Lenning, Cooper, & Passmore, 1978).

The value of a needs assessment should not be underestimated, for not only does it serve to document the existence of the programming need, but the data gained can be the program developer's most effective tool as he/she seeks the organizational commitment of staff and resources. However, to assume that the mere documentation of a need is all that is required to insure that organizational commitment and resources will be forthcoming would be a grievous error. Prior to introducing a formal program proposal, the program developer is well advised to do an "organizational inventory" to determine probable sources of support as well as possible sources of opposition. Once these sources have been identified, strategies should be developed to capitalize upon the support and to neutralize the opposition, if at all possible.

In identifying and anticipating both potential support and opposition, the program developer may be aided by answering a series of questions:

1. What are the missions and goals of the institution, and how does the proposed program relate to them?

While the terms "missions" and "goals" may sound lofty and idealistic, most institutions of higher education were created with one or more intended purposes. These purposes may not be specifically documented; but stated or not, they exist, and they influence the way an institution is likely to respond to a program. In fact, one of the most difficult forms of opposition to overcome often originates with an upper-level administrator who believes that a proposed program is not within the institution's purpose or mission. Thus, what the needs data reveal is easily and effectively circumvented.

For example, a large, state-supported university may have the mission of providing a college education to any citizen who appears to possess the intellectual potential to accomplish it. The institutional response to such a mission may be a system of open admission to all citizens of the state. The needs introduced by such a mission and the clientele it fosters will certainly be different from that of a small, "elite," privately-supported institution which selectively recruits only the most able high school graduates. The former institution may view a program designed to remediate poor academic and study skills as an appropriate expenditure of resources, while the latter institution may not.

2. What are the divisional and/or departmental missions, goals, and areas of responsibility?

Assuming that a need can be documented, and that meeting it does seem to be an appropriate institutional goal, the program developer must also ask whether meeting the need is the responsibility of the Division of Student Affairs or of the program proposer's own department or unit. Campuses are highly political environments in which feelings of territoriality run deep. To assume that no one will oppose your efforts to alleviate an existing need may prove to be a serious error. First, it is more than likely that personnel from another office should be responding. Second, nonresponse does not mean that they will support your efforts to do so. As a matter of fact, they will probably oppose your efforts.

3. What will be the source of the function required to implement the proposed program?

Proposed programs to be funded by outside sources, such as an increased appropriation from the state legislature or the acquisition of federal or foundation grants, are less likely to be opposed by existing units and programs within the institution. Unless funding avenues such as these are available, however, new programs usually mean fewer resources or the elimination of ongoing programs. The program developer thus must be ready to demonstrate the equal or even greater importance of the proposed program.

4. Where does the proposed program fall in the priorities of the institution's upper-level administrators?

If the avenue chosen for funding the proposed program is an increase in legislative appropriation or an increase in the budget as established by a governing body, the relative placement of the proposed program in administrative priorities becomes critical. For most institutions, the preparation of the budget is a long and extremely complex procedure. Typically, a program is proposed by a staff member. The program may not be the proposer's sole priority, but it is undoubtedly important. The proposal is then sent along to the department head or director where its merits must be weighed against all other new departmental proposals. If the proposal survives, it is then forwarded to a vice president or a divisional head who will, in turn, weigh it against the proposals coming from all other departments.

In the event the proposal remains under consideration, it will then be forwarded to the president and the institutional budget council. At this point, all proposed programs must be compared and institutional budget priorities established. The final outcome is usually a listing of program proposals according to priority. Following the establishment of institutional priorities, requests are often forwarded to a governing board which has responsibility for several other institutions as well. The board examines the various institutional priorities and merges them into a final set of state-wide requests to be forwarded to the executive and legislative branches of government where the appropriation decisions

are made. At this stage, proposals seeking new appropriations must compete with requests for existing programs and salary increases. Such a process gives one little reason for optimism during periods of high inflation and waning public confidence.

5. What are the likely sources of opposition from within the institution?

As stated earlier, it is best to anticipate opposition from others whose programming efforts must compete for the same dollars. Unfortunately, program development efforts are also likely to encounter opposition from a number of other sources with motives less easy to anticipate. Opposition may come from offices which should be meeting the needs but are not, individuals and/or campus organizations which disagree with the proposed program on philosophical or moral grounds (e.g., abortion counseling, draft counseling), or from those who are opposed for reasons such as past history, old battles, traditions, or personality differences. Do not assume that if a need is present and your motives are honorable, any opposition to your efforts will be logical in nature.

Given the foregoing scenarios, why would anyone choose to undertake a new programming effort? In the final analysis, new programs are proposed, do make it through the maze of obstacles placed before them, and do become operational. The greater the extent to which the program developer anticipates the answers to the questions posed, the greater the chances that the program proposal will become a reality.

What is the best way to deal with the oppositions that arise? As noted earlier, success in circumventing, if not overcoming, opposition is enhanced by anticipating the opposition and developing responses in advance. At this point two additional questions must be answered. First, is the opposition logical and appropriate? Second, who is raising the opposition?

Opposition to a given program may be appropriate, e.g., if a program is clearly outside the mission or domain of the proposing agency. Those of us in student affairs often place ourselves in the position of encountering such "appropriate" opposition. We often rush into programming vacuums where we have no business. We do this partly because we do not

always understand our own purpose and mission, and partly because we are constantly trying to prove our worth to others in our institution. Opposition to program efforts falling outside our authority is to be expected. Overcoming this requires varying degrees of organizational redefinition, and may not be worth the costs.

The answer to the question of who is posing the opposition is also a prime factor in deciding on a course of action. When opposition to a programming effort centers around one or more individuals, the issue may be handled through consultation, negotiation, or cooperation. If confrontation is the only alternative, one must weigh the costs of both winning and losing. One can only champion a limited number of causes and maintain credibility. Therefore, it is important to pick your battles thoughtfully.

Program Design, Development, and Piloting

The second major stage of program development is the design, development, and pilot testing of the program. Again, several references previously cited provide suggestions about how to approach these steps. The steps involved in programming are not as segregated as they at first appear to be. Much of the process of program design and development occurs simultaneously with the organizational assessment discussed in the previous section. Furthermore, the process used in designing and developing the program proposal can serve as a potent tool for eliminating much of the potential opposition.

Assuming that the need for a proposed program has been documented and can be demonstrated, and that the proposed program adheres to departmental and organizational goals, how the program developer designs the program may heighten or reduce the opposition. A principal cause for opposition to programs is the fear that results from lack of information and understanding. One of the easiest ways to avoid this type of opposition is to involve those individuals who are fearful in the design and development process. The Team Development Model discussed by Moore and Delworth (1976) is a most effective model for accomplishing this goal.

This type of open approach at least eliminates the causes for suspicion, and usually gives the program developer valuable insights and contributions. Additionally, generating feelings of ownership on the part of the larger group creates a more effective voice in countering any remaining opposition.

While one must be aware of and be prepared to engage in campus politics if needed, one should only enter the arena well armed with a documented need and a well-organized program proposal. It has been the author's experience that nothing concrete ever happens until a formal, written proposal is prepared. Any formal program proposal should contain five specific elements: (1) a presentation of the needs assessment data justifying the proposed program, (2) a statement of the goals and objectives the program will accomplish, (3) a description of how the program will operate, (4) a budget which includes amounts for both staff and operating monies, and (5) an evaluation plan. Many institutions have forms designed specifically for use in formulating proposals for new programs.

A number of cautions should be exercised in the preparation of a program proposal. First, the goals and objectives should be well specified and reasonable. The developer should avoid general goal statements that say nothing and goals which promise the impossible. Second, the statement of how the program will operate must appear workable and should provide an explanation of why each of the requested budget items is needed. Finally, the budget must be reasonable. Enough resources should be requested to permit the program to operate effectively; otherwise it will be condemned to mediocrity at best and failure at worst. Some of the elements of budget formulation are discussed by Nolting in the next section of this work.

Finally, most programs are better off starting small at first. This allows a period of time for pilot testing and "debugging" the program. Invariably, problems arise. Starting small the first year allows for prompt solution of problems. Also, the program is likely to receive less criticism if it is small; efforts can be better spent in refining rather than defending it.

These first two stages of program development are certainly those that suffer the highest mortality rate. If program developers can successfully navigate the campus political system, survive the budget prioritizations and reprioritizations, and gain the resources needed to put the program into operation, the chances for program survival are bright. From this point on, it is up to the program developer to deliver--he/she must alleviate the identified need, and provide evidence that the goals have been achieved.

Program Operation

Once the program has successfully weathered its pilot run, much of the day-to-day operation is likely to become routine. However, the program will still demand attention. The primary function of the operation stage is to make the program work as promised in the proposal. While successful management of a program requires numerous skills (Foxley, 1980), highlighting a few points often overlooked in the day-to-day operation can be useful. First, keep administrative superiors informed of what is going on with the program. As problems arise, keep them abreast of the situation. Administrators do not like surprises, especially negative ones. And they particularly do not like being surprised with information about which they should already have known.

There are also more positive reasons for keeping superiors well-informed. If they are aware of your program, they are more likely to remember it when formulating budget plans and allocating year-end monies. Further, if they are knowledgeable, they are better able to field questions about the program.

Another management strategy, often overlooked, is keeping enough data on hand to provide immediate responses to questions posed by campus administrators. Questions about such things as level of service usage, characteristics of clienteles, and sources of referrals frequently arise. Having a current file of pertinent data permits a quick response. If time must be taken to collect and analyze information, administrators may become impatient and/or the program may lose credibility.

A third responsibility of any program manager is to insure that appropriate and adequate program publicity is circulated. Too frequently, managers assume that if the needs assessment documents the presence of a given need, all that is required is the creation of the desired program. Wrong! One of the most difficult tasks in student affairs programming is bringing the client or program consumer into contact with the service. Many programs have been offered based upon the findings of needs assessment only to have no participants respond. Numerous avenues for publicity exist on every campus (e.g., student newspapers, brochures, flyers, student radio/television stations), and a publicity campaign should be included in any program design.

Program Evaluation

Program evaluations are commonly of two types: formative evaluations, conducted to determine whether or not a program is functioning or operating as smoothly and efficiently as it might; and summative evaluations, conducted to determine whether or not a program is accomplishing its stated goals and objectives. Since the most commonly posed evaluation questions concern whether or not a given program is accomplishing its goals, summative evaluations are more common. This is unfortunate because well-executed formative evaluations often result in increased program productivity based on the same or even fewer resources. Due to the fact that summative evaluations are used more frequently and that they are a more direct determiner of program survival or elimination, this discussion will concentrate on summative evaluations. The reader is referred to two recent publications which discuss program evaluation in greater detail: New Directions for Student Services: Evaluating Program Effectiveness (Hanson, 1978) and Evaluation in Student Affairs (Kuh, 1979).

As noted above, the basic question in summative evaluation is whether or not the program is accomplishing its stated goals and objectives. Because the idea of modifying or discontinuing the program can be extremely threatening to program staff, valid evaluations must be completed in the

least threatening way possible. Several steps can be taken to reduce staff anxiety. The process poses less threat if the program staff is involved in both the planning and the completion of the evaluation. The less obtrusive the process, the better. By including the proposed evaluation procedures in the initial program planning, the collection of evaluation data can often be made a part of ongoing, day-to-day program operations. Such a process is usually much less threatening and obtrusive than a concentrated six-month effort every three or four years.

One of the primary weaknesses of program evaluation is failure to assess the criteria which provide valid evidence of goal accomplishment. This may be caused by failure to utilize valid measuring instruments and procedures, or by failure to specify assessable goals and objectives. Mager (1962) argues the need for objectives that specify some form of a behavior change--e.g., modification, increase, lessening. If we are successfully to evaluate whether or not a program accomplishes its goals, the behavioral change must be quantifiable. All too often, we adjudge person contacts (number of participants in a group, individual clients seen) to be valid criteria for assessing goal accomplishments. While such data are valuable and often requested by administrators, they are not a valid assessment of behavior change. In past years, builders of college and university budgets willingly assumed that programs were making meaningful contributions if staff persons saw many students. As budget monies become more scarce, student affairs programmers are going to have to demonstrate more accountability. Counting clients and patients is a valid criterion only if the objective is to have contact with individuals. It is not a valid criterion for assessing program results and effectiveness.

Evaluation should be part of every program. By incorporating the process into the normal operation of the program, program staff can make use of the information to improve ongoing programs and to assemble responses on short notice to justify budget increases or ward off program cancellation.

Summary

In past decades, student affairs professionals were viewed as budgetary frills by many of their teaching colleagues as well as by administrators. In times of increasing enrollments and adequate budgets, we were tolerated as long as we left the "academic functions to the academicians." We were allowed to exist by enduring numerous mild skirmishes, but we suffered few frontal attacks on our mission and contribution to the college and university. If future events transpire as predicted, however, we as a profession are going to be called upon to justify our existence and demonstrate why our functions are at least as vital to the mission and purpose of the institution as those in the academic domain. To survive in this climate, we must possess management skills that allow us to develop and operate accountable programs. Further, if we are to continue as a profession, we must accept the campus environment as a political entity and develop the skills that will enable us to function successfully within it.

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4 the realities of fiscal management in student affairs administration

Earl Nolting, Jr.

THE REALITIES OF FISCAL MANAGEMENT IN STUDENT AFFAIRS ADMINISTRATION

Earl Nolting, Jr.

One can hardly contemplate the status of student affairs or higher education for the coming decade without considering the probabilities of fewer resources, increased requests for services, and heightened demands for documented accountability. Each of these issues is likely to have direct implications for the acquisition, allocation, and management of resources. While not all student affairs practitioners are in positions which include budgetary management as a direct responsibility, all are in positions which are directly affected by budgetary decisions. Given this fact, at least an elementary understanding of how resources are allocated and managed is of benefit.

The purpose of this chapter is to provide the reader with a brief overview of the budgeting process by: (1) defining terms and concepts used frequently in budget management, (2) briefly discussing six of the more commonly used approaches to fiscal planning, and (3) sharing several of the author's experiences in dealing with the tensions between the theory and practice of resource management in higher education. The basic notions of university accounting and budgeting procedures are standardized and will not vary greatly among institutions. However, strategies utilized in resource allocation and prediction of future resource needs vary widely among institutions, states, and budget offices. These latter variables will, in turn, strongly influence one's own experiences with the process.

Budget Concepts and Terms

In order to understand resource management in higher education, one must first master the concepts and terms through which budget officials communicate.

Budget. Simply put, a budget is a standard way of describing income sources and uses (expenditures). The standard reference for budget format and organization in higher education is contained in the American Council on Education publication edited by G. E. Van Dyke entitled College and University Business Administration, Revised Edition (1968).

Income. Budgetary income is normally classified into three broad categories: Auxiliary Services, Student Aid (including loans and grants), and Education and General (E and G). Within each category, an almost infinite number of subcategories may be used.

Simply stated, Auxiliary Services generate income, typically through fees charged to consumers for purchase of goods and services. For example, student health centers may assess per-visit fees or collect per-semester fees to generate operating income. A recent article by Watkins (1978) entitled From Airports to Word Processing noted 76 operational categories of college Auxiliary Services. Not all Auxiliary Services operate solely on a cash-on-delivery basis, but instead may have a budget composed of both fees-for-services and E and G monies. A university housing office may operate mainly on revenues generated by room and board payments, but at the same time receive E and G monies to support specialized services (e.g., off-campus housing locator).

Student Aid income covers all items for student financial assistance: loans and grants, as well as scholarships from local, state, federal, and private sources.

Educational and General funds include all other income sources such as tuition and fees, governmental appropriations, endowment income, and sponsored research. Utilization of educational and general funds is usually controlled by restrictions which dictate the manner in which the funds may be expended. These regulations may be by state and/or federal mandate, by stipulations placed upon endowments by the donor, or by authorization of the payee as is often the case with student activity fees.

Expenditures. Many colleges and universities classify expenditures into the same three categories as income but then create further subcategories or classifications. The most commonly utilized subcategories

include Salaries and Fringe Benefits; Equipment, which includes fixed assets such as scientific apparatus, furniture, and vehicles; and Supplies and Expenses, which includes all other operating expenditures except salaries, benefits, and equipment. Numerous other more specialized categories are also commonly used such as postage, advertising, data processing, and subscriptions.

Fiscal Planning Strategies

While the management of income and expenditures is the basic function of the budgetary process and is common to all institutions, the methods by which income dollars are allocated to the various organizational components for expenditure are much less uniform. Several allocation strategies have been developed, and six will be discussed. One should note that the strategy employed by a given institution in allocating resources to all components, including student affairs, influences such things as the amount of operating resources available, the possibilities for new programming, and the kind of evaluative and accountability information which must be collected.

Zero based budgeting. Under this method, each fiscal year is treated as a new and separate entity. All organizational units begin building their budgets at base zero and must justify all requested allocations, including both new programs and continuing programs. No program receives an "automatic" appropriation.

Formula budgeting. Under formula budgeting, allocations to operating units are determined on the basis of one or more complex equations or formulas. These equations usually weigh such factors as departmental enrollment, number of credit hours generated, and level of courses taught (graduate or undergraduate), in arriving at the recommended allocation. More sophisticated formulas may be developed by examining the internal resource allocations and fiscal requests of similar institutions. An excellent discussion of formula budgeting as applied to student affairs may be found in Maw, Richards, and Crosby (1976).

Program Planning and Budgeting System (PPBS). PPBS is a comprehensive budgeting strategy which begins with the specification of long-term goals and objectives, the specification of programs and program elements designed to accomplish these goals and objectives, and the specification of budgetary resources required for program operation.

If the PPBS strategy is to work effectively, program objectives must be concrete and quantifiable (Robins, 1973). Robins cites the example developed by Scheps and Davidson (1970):

> The A.B. degree thus becomes one of the 'program categories' which produces the objectives of the institution. This program category can then be divided into 'program subcategories' (e.g., the history department), which can, in turn, be subdivided into 'program elements' (e.g., courses offered by the department). (p. 55)

Under PPBS, income and expenditure of money and assets (e.g., square feet of office and classroom space, books in the library, laboratory equipment) are assigned to program categories and subcategories. The major strength of the PPBS method is its ability to show clearly cost relationships within and between program categories. This results in improved allocation decisions.

As with formula budgeting, large amounts of data and staff time are needed to implement the system. Arguments against this model relate to its doubtful applicability to higher education (Green, 1971; Williams, 1966). Also, areas such as student services may not provide easily quantifiable, long-term objectives. However, Harpel (1976) has provided a clear example of how PPBS can be applied to student affairs.

Incremental budgeting. Under the incremental budgeting strategy, the organization and its units begin the budgeting process with a base budget, usually the allocation for the previous year. The new year's budget is established by simply adding a percentage increase to the base amount.

Cost simulation budgeting. With the cost simulation model of budget development, a computer simulation model of an institution is created, and cost and revenue factors are systematically varied to create "accurate" estimates of future conditions. The best known simulation models

have been developed by the National Center for Higher Education Management Systems (NCHEMS), particularly the Resource Requirement Prediction Model (RRPM). With such models, sophisticated cost analyses can be accomplished. Cost per student, by level of instruction, per credit hour, and by contact hour are but a few of the many cost factors that can be computed (Robins, 1973).

Realities of Fiscal Management

In student affairs, new professionals typically have few budget responsibilities. Fiscal matters, including salaries, are generally determined at higher administrative levels. Office supplies are obtained from the departmental secretary or through a requisition system from a local vendor. When supplies are depleted, someone replenishes the store. Periodic reminders arriving in the mailbox discuss various fiscal problems such as excessive numbers of xerox copies or too many long-distance telephone calls.

If one continues to be involved in administration, responsibilities increase and one encounters a budget for the first time. While, as previously discussed, a familiarity with budget terms and models may help, the first real encounter may be traumatic. When the first budget arrives, you will be surprised at how <u>little</u> you are actually in control. Nearly all of the money will be allocated to one item: personnel. Not only will most of the fiscal resources be tied up in salaries, you will have little say about who gets how much. For example, student hourly employees will receive a mandated amount, usually the federal minimum wage. As the budget administrator, you may get to decide who earns minimum wage and who gets $.25 or $.50 more. You quickly learn that from the receiver's point of view, more is deserved.

Most states have a mandated salary structure for clerical or civil service personnel; so that salary segment will be determined by forces outside your control. Faculty salaries for those on staff are not likely to be negotiable, and especially not downward. Professional staff will stop by to let you know how little your predecessor did for them and how

eagerly they are looking forward to working for someone who will truly place the appropriate value on their services, that is to say, increase their salary. In essence, the best you can strive for is to provide equal pay for equal work and equivalent responsibilities. That advice will apply whether setting salaries for student hourly employees, for Ph.D.-level psychologists, or for vice-presidents.

The remainder of your fiscal responsibility, a maximum of approximately 15 to 20 percent, will be for supplies and equipment which are largely predetermined as well. The cost of your telephone is established, and you will pay that price if you wish to use the equipment.

The telephone bill nicely illustrates the distinction between fixed and variable costs within a budget. Variable costs fluctuate with the level of usage, and they can be predicted and controlled to some extent. One of the more common variable expense items is supplies. Determine the extent to which these expenditures can be controlled by you and your staff, then create incentives for doing so. Fixed costs, such as telephones, are usually established on a year-to-year basis and do not vary from month to month. Other examples of fixed costs would be such things as equipment rental, service contracts, and subscriptions.

Early in my administrative career, I learned that you cannot separate program from budget. This creates the dilemma of providing services to a growing number of persons with increasingly scarce dollars. The problem can be seen most clearly in proposals for new service programs. New ideas continually appear which require new resources or the deployment of present staff and resources to new responsibilities. Staff go to conferences and conventions and learn of new programming ideas. Or ever more frequently, a new program is mandated from outside, usually by the federal or state government, but no implementation funds are provided. A recent example is the mandate to make all services and programs accessible to physically limited students.

Crucial questions relating to newly identified clienteles and their needs, programming alternatives, and the resulting program costs and benefits must be answered. If no additional monies are available, will the new service be created? If the answer is yes, the new service can be

offered only at the expense of an existing effort. Some of the budgeting strategies previously discussed, particularly PPBS, are designed to assess the substance of such cost reallocations. While one must ultimately decide to implement or not to implement the proposed new program, utilization of such a budgeting model will at least allow one to estimate and/or assess the fiscal impact of the decision.

The information provided by the budget management process can be utilized as an effective program planning and evaluation tool to be used not only by the supervising administrator but by the programming staff as well. This is especially true under the PPBS model which allows both the administrator and the staff member to see exactly where each percentage of resource is going. My experience has been that programming staff are eager to participate in the budgeting process. Further, when they do participate, I feel better service programs are achieved and better cost control is obtained. Spending, or overspending, becomes everybody's concern and is not the responsibility of a single individual.

Cost consciousness works best when there is real control over spending and when incentives are provided for remaining within one's budget. Amounts charged directly to programming units should be actual costs which can be monitored or controlled by the unit, rather than prorated commitments entered into by higher level administrators.

Effective cost control requires the frequent updating of reports. Offices should receive accounting sheets monthly. Attention to spending is given when any unit's reports show excessive expenditures. One must find out the reasons and, with programming staff, determine what must be done. The need for cost consciousness should be stressed throughout the fiscal year as the desired alternative to PANIC during the last two months. Once programming staff live through the "year-end scramble" for operating monies, they tend to prefer a more sensible month-by-month monitoring approach.

Long-Range Planning in a Chaotic Context

While day-to-day fiscal management is likely to be a responsibility of any student affairs administrator, one should not become so engrossed in these short-term management responsibilities that one fails to consider long-range fiscal planning. Such efforts will become increasingly important in the decade ahead as relatively fewer resources are available for student affairs in particular, and for higher education in general.

In surveying the student affairs arena from the perspectives of long-range planning practices and the tools required to implement them, one sees little reason for optimism. Most fiscal management and planning models now in use have doubtful applicability to student services. Most management and planning models are primarily oriented toward management of academic programs; as a result, student service departments often fail to "fit into" the academician's equation. This is further compounded by insistence on a "quality of life" approach to fiscal allocation and management by student services staff instead of the student-credit-hour generation model commonly used. Too frequently, this insistence upon a unique approach has been viewed as defensiveness by our nonstudent affairs colleagues.

While no clear solutions to these problems are apparent at this time, the NASPA Research and Program Development Division is presently attempting to develop appropriate quantitative measures for student services. Rather than seeking to exempt student affairs from an institution's fiscal planning processes, the NASPA Division is attempting to insure that an appropriate quantitative representation of our services is possible. In any event, student affairs managers must become familiar with the terms, formats, and concepts of the budgeting and planning processes followed by their respective institutions. In so far as possible, student service professionals must share in the responsibility for determining their own and their institution's fate.

Fiscal Planning in Financial Exigency

After 30 years of growth, higher education is entering a period of declining enrollments with a corresponding decrease in resources. Enrollment predictions for the 1984-1995 period, based primarily on the declining numbers of high school graduates, forecast a decrease in the "traditional" college student population (Brocklehurst, 1979; Hodgkinson, 1976). While some dispute these gloomy outlooks, claiming they are based upon erroneous assumptions and are harmful to morale, many institutions have begun to discuss plans and procedures for the systematic reductions in faculty and staff which may be necessitated if the predicted enrollment declines materialize. New terms and concepts are being used in these discussions: retrenchment, exigency, termination of employment for tenured faculty, nonvoluntary layoff or leave without pay, and nonvoluntary reduction from full-time to part-time status of both tenured and nontenured faculty. If sound fiscal planning strategies are followed, the institution should have ample advance notice of problems and thus be able to plan appropriate actions to allocate shrinking resources. However, even the most sophisticated strategies will not obviate the fact that conflictual, politically unpopular decisions must be made.

New approaches will be needed. A three to five percent budget decrease, a freeze on new hiring, or elimination of staff travel will not be enough to offset the projected decline. Staff reductions will be necessary, and when they occur, the unprepared institutions will search for a "quick fix" and an easy answer. A likely response to such gloomy events will be to take needed funds from student services by either reducing budgets or shifting the income base from E and G funds to an auxiliary base. Services will then survive to the extent students are willing to "pay" for them.

Increased attention must be given to accountability and cost-effectiveness. Student services professionals, their institutional units, and professional organizations must be prepared to articulate their "cost-benefits" and justify the continued allocation of resources. Accountability questions should be directed to every unit on campus. In the past,

student services, particularly those areas which operate in a "quality-of-life dimension," have strenuously resisted such inquiries. Dressell (1973) suggests that student services have oversold themselves by promising global generalities--generalities which will not suffice during retrenchment. With respect to user fees, Dressell correctly notes that many services--counseling, admissions, financial aid, housing--benefit the institution as much or more than they benefit the student. If such programs and services are reduced or eliminated, the institution's enrollment may decline further, thus deepening the financial crisis.

In summary, fiscal planning for financial exigency will continue to be a challenging process. Institutions must develop new personnel policies and procedures, examine the cost-benefits of all units, restate institutional and departmental goals, and search for effective, long-term planning strategies suitable for use during periods of enrollment stabilization or decline.

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5 grantsmanship: an introduction to locating and applying for external funds

Michael L. Lynch

GRANTSMANSHIP: AN INTRODUCTION TO LOCATING AND APPLYING FOR EXTERNAL FUNDS

Michael L. Lynch

In this day when college and university budgets strain to maintain existing programs under the pressures of inflation and projected enrollment declines, few institutional monies are available for expansion into new programming areas. Given these budgetary restrictions, a student affairs programmer may wish to investigate sources of funding external to the college or university. In the past, either of two approaches has commonly been followed. One approach is to determine in what programming areas funds are available and then to design a program to qualify for the funds. A second approach is to identify a programming need that is consistent with the mission, goals, and objectives of the institution or department, and then design a program to meet that need. In the latter method, one must then find and apply to potential sources of funding relating to the area of need. While the first method may, in fact, result in the acquisition of more dollars, the second appears more suitable for service-oriented organizations where program continuity is important and where the primary purpose is the development of a program or project to alleviate an existing need.

Several other considerations also lend support to the second philosophy of grantsmanship. The very process of developing a proposal is expensive--especially in terms of personnel time. If funded, on-campus space and facilities may be taxed by additional staff and clientele resulting from the program or project. Finally, there is an increasing tendency for funding agencies to require an in-kind contribution (personnel, office equipment, supplies, etc.) from the applicant institution and, especially in the case of programming grants, evidence of commitment to fund the program with internal funds once the grant expires. Such factors point up the necessity for a planned, purposeful, and well thought-out approach to seeking external monies.

Identifying Potential Funding Sources

Given that a need has emerged which appears to be worthy of the effort required to seek external funding, the first task is to identify funding sources which might have an interest in the idea. While numerous sources of potential funding exist, the largest and best known come from programs administered by various agencies of the federal government and large philanthropic foundations (Ford, Carnegie, etc.). In addition to these better known sources, numerous state and local governmental agencies, over 5,000 lesser known public and private foundations, and many business, industrial, and special interest organizations also offer external funding possibilities. Most college and university libraries have directories and other reference documents which list and describe various funding agencies.

In identifying sources and determining whether or not they are relevant to a proposed program, one should become familiar with three of the more standard references:

Catalog of Federal Domestic Assistance, published by the Office of Management and Budget, Washington, DC 20503. This publication describes each federal funding program in terms of type of assistance offered, purpose of assistance, categories of agencies which are eligible to apply, and the application procedure.

The Foundation Directory, published by the Foundation Center, 888 Seventh Avenue, New York, NY 10019. This directory provides information on more than 5,000 of the larger and more active foundations. The information listed includes name and address of the foundation, date and form of organization, name of donor, purpose and activities, limitations, financial data, names of officers, etc.

Annual Register of Grant Support (ARGS), published by Marquis Academic Media, 200 East Ohio Street, Chicago, IL 60611. ARGS includes an analysis of various funding sources on such points as purpose for which funds are granted, eligibility requirements, number of applicants and awards during the previous year, application instructions and deadlines, amount of funding available, address, etc.

In reviewing these and other resources, one should not overlook references listing local and state agencies and foundations which make awards, although usually on a somewhat smaller scale.

In addition to these printed references, most large institutions have an officer within the administrative structure whose role is to assist faculty and other university personnel in locating and applying for outside funding. These individuals are most commonly found in offices of Institutional Research, the Graduate School, the Comptroller, the Business Manager, or Grants and Contracts.

While there may be many or few potential sources of funding for a given programming idea, the student affairs administrator should be well acquainted with four federal agencies which warrant specific mention: the Fund for the Improvement of Postsecondary Education (FIPSE), the National Institute of Education (NIE), the National Institute of Mental Health (NIMH), and the National Institute of Child and Human Development (NICHD). Information pertaining to each of these programs is contained in the Catalog of Federal Domestic Assistance.

Assessing Agency Interest

Once potential funding sources are located, one needs to determine which agencies or organizations will actually consider funding the particular program. The applicant will find that a given funding agency usually offers one of two avenues for the submission of proposals; certain agencies may accept proposals under both methods.

The first method, and the one most federal agencies follow, is to solicit proposals for monies which are legally earmarked for programming and/or research in specified areas. Agencies which use this pattern specify the areas of research or programming that will be considered, publish a usually detailed set of guidelines to be followed in proposal development, and set one or more deadlines throughout the year for proposal submission.

While at times soliciting proposals, foundations and other nongovernmental agencies often consider proposals of an unsolicited nature. In

this case, the individual or organization with the proposed program or project seeks out the funding agency or agencies that might have a possible interest in funding the idea. Agencies utilizing an unsolicited format may have less specific guidelines, may have fewer initial restrictions as to what they will consider, and are more likely to consider proposals submitted at any time. While agencies which consider unsolicited proposals on a variety of topics may offer considerably more flexibility with respect to development of proposal ideas, unsolicited proposals are usually the harder of the two to get funded.

Regardless of whether the proposal is solicited or unsolicited, the proposal writer is well advised to initiate contact with the funding agency prior to developing the full proposal. Before initiating contact with the agency, the applicant must have the program or project well thought out. This is perhaps best accomplished by the development of a one- or two-page abstract or prospectus. The abstract should be written clearly and concisely and speak to the following points: project title; name of submitting organization; name of project director or principal investigator; statement of need, including justification and documentation if possible; goals and objectives of the project; methodology to be followed in accomplishing the goals and objectives; resources and personnel available for carrying out the project; and the overall anticipated budget. This process of developing the abstract enables the applicant to clarify the project in his/her own thinking before meeting with potential funding agencies.

An applicant's initial contact with funding agencies may take the form of an office visit, telephone call, or written correspondence. An office visit is certainly to be preferred; however, such is not possible in many cases and a phone call has to suffice.

The initial contact with a foundation or agency which accepts proposals on an unsolicited basis provides the potential applicant with the opportunity to "sound out" the agency's interest in the particular program or project. In the case of an agency which solicits proposals, such a contact allows the applicant to verify the legitimacy of the idea, ask questions about proposal guidelines, and solicit suggestions regarding

proposal development. In either case, such a contact will hopefully build an association between the agency official and the applicant. Such a link often works to the benefit of the applicant in later stages of the process.

Following the initial contact, and assuming the agency does express interest, the next step is to submit a letter of intent. Such a letter is required by some agencies and optional for others. Regardless of whether required or optional, letters of intent should always be submitted to potential funding agencies when the proposal is unsolicited. By so doing, applicants are likely to save themselves the effort involved in developing a full proposal only to find that the agency is not interested in the idea.

The exact format of letters of intent may or may not be specified by the funding agency; however, they are usually of two types. One format is a one- or two-page letter discussing the proposed project, and including an estimated budget and information on the applicant. In other instances, only a short letter of introduction is used, accompanied by the brief abstract or prospectus. The importance of the letter of intent should not be underestimated as it frequently is the applicant's first formal contact with the agency. Many agencies also utilize letters of intent in the initial screening of ideas. Hopefully, an agency's response to the letter will indicate whether or not it encourages development of a full proposal and, if so, offer suggestions as to how the idea might be improved.

The Proposal

Based upon the reactions to the letter of intent and/or abstract, the applicant must decide for which agencies a full proposal will be developed. Each agency will have its own proposal guidelines. The applicant should acquire copies of these prior to proposal development, since Rule One of proposal writing is to follow the guidelines specified by the agency. Failure to do so may result in a negative impression which is difficult if not impossible to overcome.

Most proposal guidelines require the applicant to address common points in some detail. These areas, along with brief descriptions, are listed below.

1. Description of Project. A statement documenting the need and describing how the applicant proposes to address that need. The description of what the proposed program or project will accomplish should be feasible; the applicant should not understate anticipated accomplishments, but should not promise the impossible either.

2. Project Goals. A general statement of what the applicant proposes to accomplish in meeting the need or solving the identified problem.

3. Project Objectives. Precise statements of what the applicant will accomplish in terms of behaviors and/or changes which can be measured and evaluated.

4. Implications of the Project. A description of the "wider" implications of successful completion of the program or project. Who will benefit from the project beyond those directly involved? Will the program serve as a model for others to follow? Will it fill an existing knowledge gap? Will the findings serve as the foundation for further action?

5. Plan of Action. A precise plan of how the applicant intends to accomplish the goals and objectives specified. This description should be detailed and include a chronological schedule of events and accomplishments. If the program or project will extend across funding periods, i.e., over two fiscal years, the schedule of events should be broken down to coincide with funding periods.

6. Budget. A clear outline of the financial plan. No budgetary question should be left unanswered; the reader should be able to ascertain the basis for each budget item.

The budget will include two categories of costs: direct and indirect. Direct costs include such items as salaries, benefits, supplies, and equipment. Indirect costs are commonly referred to as overhead, and include such items as office facilities, utilities, and janitorial service. The applicant should work closely with his/her institution's grants and contracts or budget office, for the indirect cost rate is

established by the applicant's institution and changes frequently. Further, funding agencies vary in the extent to which they will pay indirect costs; in some cases the amount is subject to negotiation once the proposal is funded and direct costs are agreed upon.

7. Evaluation. A statement of evaluation procedures. Most commonly used is a summative evaluation which allows both grantor and grantee to assess if and to what extent the goals and objectives have been accomplished.

8. Personnel. Details about the director and staff for the proposed project. If the applicant knows who the potential personnel will be, vitae should accompany the proposal documenting those individuals' qualifications and accomplishments in appropriate areas. If the applicant does not have specific individuals in mind, he/she should indicate the qualifications to be sought.

The entire proposal should be presented in a neat, attractive, and professional manner. The writing style should be clear and concise, and contain a minimum of professional jargon. The format should conform exactly to agency guidelines. Given that the process of proposal development is often long and tedious and the prospects of success uncertain, the temptation often arises to omit sections or to overgeneralize in the writing. No matter how meritorious, however, an idea is not likely to be funded if it is poorly presented.

The stipulated number of copies of the completed proposal should arrive at the selected agency on or before the official deadline. The package should be addressed to the correct person and contain the appropriate signatures. (Note: The proposal should be completed several days in advance of the delivery deadline to allow for any required internal review and the collection of requisite signatures.)

Once the full proposal is submitted, responsibility then shifts to the staff and reviewers of the funding agency. Telephoning officials of the funding agency regarding progress or decisions is often tempting but may be very risky. Applicants can perhaps best be guided by consulting with their institutional official who has the responsibility of assisting faculty and staff with funding proposals. At the least, such an official

should be able to provide guidance on how long one should wait before making a follow-up call.

If funded, the applicant should work closely with the funding agency to determine what reports the agency will require (e.g., quarterly, semi-annual, annual budget reports; progress reports; evaluations). The project director should collect the required information on a day-to-day basis rather than waiting until the end and trying to assemble the information retroactively.

If the proposal is not funded, the applicant has the right to ask for the reviewers' comments in writing. Agencies are usually willing to provide this information, but normally do so only at the applicant's request. Upon review of the agency's comments and reasons for not funding the proposal, the applicant may wish to inquire if a revised proposal would be considered. If not, the applicant may wish to investigate other funding agencies.

Several studies have examined the reasons why proposals are not funded. The following five criteria are frequently cited as being critical:

Purpose of project - Does the purpose of the project match the funding priorities of the agency?

Demonstrated need for the project - Does the project address a significant need and is this adequately demonstrated in the proposal?

Accountability of the applicant - Can the applicant be relied upon to implement the project as proposed, provide meaningful and useful results, and spend the monies as legally contracted?

Competence - Do the previous experience and training of the project personnel demonstrate the ability and skills required to conduct the project, and does the applicant's institution have a good record of having fulfilled previous agreements?

Feasibility of the project - Given the personnel and budget requested, are the goals and objectives of the proposal feasible and within range of accomplishment?

Five additional criteria are considered only slightly less important:

Logic of the proposal - Can the methodology or plan of action outlined be expected to produce the intended results?

Project impact - To what extent can accomplishment of the proposed project be expected to produce positive results beyond the immediate realm of the project and the parent organization?

Proposal language - Is the proposal well written, concise, and appropriately phrased?

Budget - Is the amount requested reasonable, but not excessive, to accomplish the project goals, and is the amount requested within the funding range of the agency?

Institutional/organizational support - Has the applicant's parent institution or organization demonstrated commitment to the project, and is there evidence that the clientele to be served by the project endorse it?

In addition to identifying these criteria as important in the decision to fund or not to fund, a single weak area in a proposal may not doom the project's chances. One or two such shortcomings may result in a negative reaction on the part of reviewers. Once such an impression is formed, it is very difficult for other well-written sections to make up the lost ground. Consequently, the applicant must not rely upon a single aspect of a proposal to "sell" the idea. Rather, each and every section of the proposal must be able to stand on its own merits.

This chapter was meant to provide the reader with an admittedly general overall view of the proposal process. Hopefully, it contains enough information that the prospective applicant will know how to begin, what questions to ask, and where to go for suggestions and answers. An excellent start would be to examine the sources listed in the following bibliography. The author specifically recommends the reference by Mary Hall entitled, Developing Skills in Proposal Writing for careful, thorough review.

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SUMMARY

Michael L. Lynch

The 1980's will most certainly be a decade of increased uncertainty for higher education. Public institutions that have enjoyed rapid growth and high public prestige during the past 30 years are today faced with the prospect of limited or no growth and waning public confidence. An institution which in the past obtained additional resources on the basis of growth alone must now justify why these same resources should not be reduced because of lack of growth, but rather increased because of high rates of inflation.

As a part of higher education, student affairs will find itself sharing the same problems and crises. Unless appropriate actions are taken, however, the student affairs unit or division may find itself carrying a disproportionate share of the institutional burden. Over the past years, student services often operated in an isolated and autonomous fashion within the institution. Frequently little understood by faculty and administrators, student affairs professionals were viewed as an unneeded extravagance, but were tolerated because resources were ample. Unfortunately, resources are not going to be ample during the 1980's, and administrators and faculty are likely to look first to what they view as extravagancies in their efforts to economize.

If we in student affairs are to withstand the scrutiny of college and university administrators and faculty, as well as legislators, we must look for methods of accountability by which we can document our worth. We must clearly define our identity, determine those roles and functions which we as a profession can fulfill, and then produce in a fashion that stands up proudly under close examination. To do so will require some changes. No longer can we strive continually to prove our value to ourselves and others by rushing to fill any nonacademic campus programming need. We must pick our options well. They must be appropriate for our mission and our institution's mission. Finally, we must deliver quality. Prudent fiscal management will not permit otherwise.

During the coming years, unfortunately, the mere delivery of quality services and programs may not be sufficient. The profession must be guided by leaders who can function decisively and effectively in the highly political environment of higher education. Our administrators must demonstrate effective management skills which derive the maximum benefit from our limited resources. In order to accomplish this, we must become sophisticated in the politics and management of resource acquisition, allocation, and accountability.

The authors have attempted in this volume to sensitize the reader to some of the issues facing higher education and student affairs. The extent to which the student affairs profession is able to contribute to the resolution of these issues will determine whether the coming decade is one of crisis or opportunity.